

Application for United States

PATENT  
A11-26110USDECLARATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name;

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

HIGH DENSITY 3-D INTEGRATED CIRCUIT PACKAGE

The specification of which

(check one)   X   is attached hereto  
           was filed on \_\_\_\_\_ as  
 Application Serial No. \_\_\_\_\_  
 and was amended on \_\_\_\_\_  
 (if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).\*

I hereby claim foreign priority benefits under Title 35, United States Code §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)			Priority Claimed	
(Number)	(Country)	(Day/Month/Year Filed)	Yes	No

I hereby claim the benefit under Title 35, United States Code §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations §1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Serial No.)	(Filing Date)	(Status)	(patented, pending, abandoned)

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: DENNIS C. BREMER (Reg. No. 40,528), KRIS T. FREDRICK (Reg. No. 42,554) and JOHN G. SHUDY, JR. (Reg. No. 31,214). Address all telephone calls to DENNIS C. BREMER at telephone number (612) 951-6145.

Address all correspondence to Dennis C. Bremer, Customer Number 000128

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full Name of Sole  
or First Inventor Gerard J. Sullivan  
Inventor's Signature Gerard J. Sullivan Date 12 Oct, 2001  
Residence Newbury Park, State of ~~Minnesota~~ CALIFORNIA sub 10/16/01  
Citizenship USA  
Post Office Address 3879 Calle Loma Vista  
Newbury Park, CA 91320

Full Name of Sole  
or First Inventor James R. Rau (Deceased)  
Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_, 2001  
Residence Anaheim, State of California  
Citizenship U.S.A.  
Post Office Address 3233 Miraloma Ave.  
Anaheim, CA 92806

Full Name of Sole  
or First Inventor Larry R. Adkins  
Inventor's Signature Larry R. Adkins Date Oct 31, 2001  
Residence Tustin, State of California  
Citizenship U.S.A.  
Post Office Address 17652 Wellington Ave.  
Tustin, CA 92780-2355

Full Name of Sole  
or First Inventor A. James Hughes  
Inventor's Signature A. James Hughes Date Nov 13, 2001  
Residence Tustin, State of California  
Citizenship U.S.A.  
Post Office Address 1752 Lance Drive  
Tustin, CA 92780-5233

\*Title 37, Code of Federal Regulations §1.56:

- (a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to

patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is cancelled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is cancelled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:

- (1) prior art cited in search reports of a foreign patent office in a counterpart application, and
- (2) the closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.

(b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and

- (1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim; or

- (2) It refutes, or is inconsistent with, a position the applicant takes in:

- (i) Opposing an argument of unpatentability relied on by the Office, or
- (ii) Asserting an argument of patentability.

A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

(c) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

- (1) Each inventor named in the application;
- (2) Each attorney or agent who prepares or prosecutes the application; and
- (3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.

(d) Individuals other than the attorney, agent or inventor may comply with this section by disclosing information to the attorney, agent, or inventor.

DECLARATION

I, Dennis C. Bremer, declare as follows:

1. I am an attorney for Honeywell International Inc. I have personal knowledge of the following facts, and if called to testify, I would and could testify competently to the matters set forth herein.
2. James E. Rau is a named joint inventor for the application entitled "High Density 3-D Integrated Circuit Package." James E. Rau is deceased.
3. Chris Rau is the son of James E. Rau. The last known address for Chris Rau is 3233 East Miraloma Avenue, Anaheim, California 92806.
4. Honeywell International Inc. contacted Chris Rau more than three times to have James E. Rau's legal representative sign the oath or declaration required to file the application under 37 C.F.R. §1.63. The last request to Chris Rau was made in a letter dated November 16, 2001. A copy of three letters requesting signature are attached hereto as Exhibit A.
5. Honeywell International Inc. has not received the signed oath or declaration from James E. Rau's legal representative.

Pursuant to 37 C.F.R. §1.47(a), I declare under penalty of perjury that the foregoing is true and correct, and that this declaration was executed on the 18th day of January 2002 in Minneapolis, Minnesota.



DENNIS C. BREMER



I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full Name of Sole  
or First Inventor Gerald J. Sullivan  
Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_, 2001  
Residence Newbury Park, State of Minnesota  
Citizenship USA  
Post Office Address 3879 Calle Loma Vis  
Newbury Park, CA 91320

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patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is cancelled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is cancelled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:

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(c) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

(1) Each inventor named in the application;

(2) Each attorney or agent who prepares or prosecutes the application; and

(3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.

(d) Individuals other than the attorney, agent or inventor may comply with this section by disclosing information to the attorney, agent, or inventor.

JOINT  
PATENT

FILE NO. A11-26110US

ASSIGNMENT

WHEREAS, GERALD J. SULLIVAN of NEWBURY PARK, State of CALIFORNIA,  
JAMES E. RAU (DECEASED) of ANAHEIM, State of CALIFORNIA, LARRY R. ADKINS of TUSTIN, State  
of CALIFORNIA and A. JAMES HUGHES of TUSTIN, State of CALIFORNIA  
have invented certain new and useful improvements in **HIGH DENSITY 3-D INTEGRATED CIRCUIT  
PACKAGE** for which an application is about to be made for Letters Patent of the United States, said application  
having been executed on the \_\_\_\_ day of \_\_\_\_\_, 2001, the \_\_\_\_ day of \_\_\_\_\_, 2001, the \_\_\_\_ day  
of \_\_\_\_\_, 2001, the \_\_\_\_ day of \_\_\_\_\_, 2001, and

Whereas, Honeywell International Inc., a corporation organized and existing under the laws of the State of  
Delaware, and having its principal offices at 101 Columbia Road, P.O. Box 2245, Morristown, NJ 07962-2245  
U.S.A. is desirous of acquiring the entire right, title and interest in and to said invention, said application and in, to  
and under any and all Letters Patent to be obtained therefor;

Now, therefore, for good and valuable consideration to us paid by the said Honeywell International Inc., the  
receipt of which is hereby acknowledged, we have sold, assigned and transferred, and by these presents do hereby  
sell, assign and transfer unto the said Honeywell International Inc., its successors and assigns, our entire right, title  
and interest in and to said invention, said application and the Letters Patent, both foreign and domestic, that may or  
shall issue, including all of our rights under any and all international conventions, treaties and/or agreements  
concerning patents to which the United States is a party, and we do hereby authorize and request the Commissioner  
of Patents to issue said Letters Patent to the above mentioned assignee in accordance herewith.

We further authorize said assignee, its successors and assigns, or anyone it may properly designate, to apply  
for Letters Patent, in its own name if desired, in any and all foreign countries, and additionally to claim the filing  
date of said United States application and/or otherwise take advantage of the provisions of any international  
convention, treaty and/or agreement.

We do hereby covenant and agree with the said assignee, its successors and assigns, that we will not execute  
any writing or do any act whatsoever conflicting with these presents, and that we or our executors or administrators  
will at any time upon request, without further or additional consideration, but at the expense of the said assignee, its  
successors and assigns, execute such additional writings and do such additional acts as said assignee, its successors  
and assigns, may deem necessary or desirable to perfect the assignee's enjoyment of this grant, and render all  
necessary assistance in making application for and obtaining original, divisional, reissued or extended Letters Patent  
of the United States, or any of and all foreign countries on said invention, and in enforcing any rights, occurring as a  
result of such applications or patents, by giving testimony in any proceedings or transactions involving such  
applications or patents.



Date \_\_\_\_\_, 2001

\_\_\_\_\_  
**GERALD J. SULLIVAN**

State of \_\_\_\_\_ )

)ss.

County of \_\_\_\_\_ )

On this \_\_\_\_\_ day of \_\_\_\_\_, 2001, before me personally appeared **GERALD J. SULLIVAN**, to me known to be the person described in and who executed the foregoing instrument and acknowledged that he executed the same as his free act and deed.

\_\_\_\_\_  
Notary Public, County  
State of  
My Commission Expires \_\_\_\_\_

Date \_\_\_\_\_, 2001

\_\_\_\_\_  
**JAMES E. RAU (DECEASED)**

State of \_\_\_\_\_ )

)ss.

County of \_\_\_\_\_ )

On this \_\_\_\_\_ day of \_\_\_\_\_, 2001, before me personally appeared **JAMES E. RAU (DECEASED)**, to me known to be the person described in and who executed the foregoing instrument and acknowledged that he executed the same as his free act and deed.

\_\_\_\_\_  
Notary Public, County  
State of  
My Commission Expires \_\_\_\_\_

Date \_\_\_\_\_, 2001

\_\_\_\_\_  
**LARRY R. ADKINS**

State of \_\_\_\_\_ )

)ss.

County of \_\_\_\_\_ )

On this \_\_\_\_\_ day of \_\_\_\_\_, 2001, before me personally appeared **LARRY R. ADKINS**, to me known to be the person described in and who executed the foregoing instrument and acknowledged that he executed the same as his free act and deed.

\_\_\_\_\_  
Notary Public, County  
State of  
My Commission Expires \_\_\_\_\_

11/15/2001 10:00 AM

Express Mail Label # EK934-52US

Date \_\_\_\_\_, 2001

A. JAMES HUGHES

State of \_\_\_\_\_ )  
County of \_\_\_\_\_ ) ss.

On this \_\_\_\_\_ day of \_\_\_\_\_, 2001, before me personally appeared **A. JAMES HUGHES**, to me known to be the person described in and who executed the foregoing instrument and acknowledged that he executed the same as his free act and deed.

\_\_\_\_\_  
Notary Public, County  
State of  
My Commission Expires \_\_\_\_\_

Doc:Assign-J

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